

**SUBJECT: DEPARTMENT OF ENERGY OVERSIGHT POLICY**

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**PURPOSE AND SCOPE**

The purpose of this Policy is to establish a Department-wide oversight process to protect the public, workers, environment, and national security assets effectively through continuous improvement. As used in this Policy, any reference to DOE is also meant to include the National Nuclear Security Administration (NNSA).

The scope of this Policy includes assurance systems implemented through contracts and by DOE organizations that manage or operate on site; assurance systems implemented by DOE line management (both Headquarters and field elements);<sup>1</sup> and DOE independent oversight<sup>2</sup> organizations. This Policy covers such operational aspects as environment, safety, and health; safeguards and security; cyber security; and emergency management.

This Policy cancels and supersedes DOE P 226.1, *Department of Energy Oversight Policy*, dated 6-10-05.

**TERMINOLOGY**

“Assurance systems” encompass all aspects of the processes and activities designed to identify deficiencies and opportunities for improvement, report deficiencies to the responsible managers, complete corrective actions, and share in lessons learned effectively across all aspects of operation.

“DOE Oversight” encompasses activities performed by DOE organizations to determine whether Federal and contractor programs and management systems, including assurance and oversight systems are performing effectively and/or complying with DOE requirements. Oversight programs include operational awareness activities, onsite reviews, assessments, self-assessments, performance evaluations, and other activities that involve evaluation of contractor organizations and Federal organizations that manage or operate DOE sites, facilities, or operations.

“Site programs” protect the public, workers, environment, and national security interests or support essential mission activities. Site programs specifically include environment, safety, and health; safeguards and security; cyber security; and emergency management programs.

“Site management systems” are required management systems that provide the framework for a set of related site programs. Site management systems specifically include Integrated Safety

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<sup>1</sup>DOE line management refers to the management chain with responsibility for the site. This chain typically extends from the responsible site organization (e.g., site office or field office) to the responsible program office or Under Secretary and ultimately to the Deputy Secretary and Secretary of Energy.

<sup>2</sup>Independent oversight refers exclusively to oversight by DOE Headquarters organizations that do not have line management responsibility for the activity.

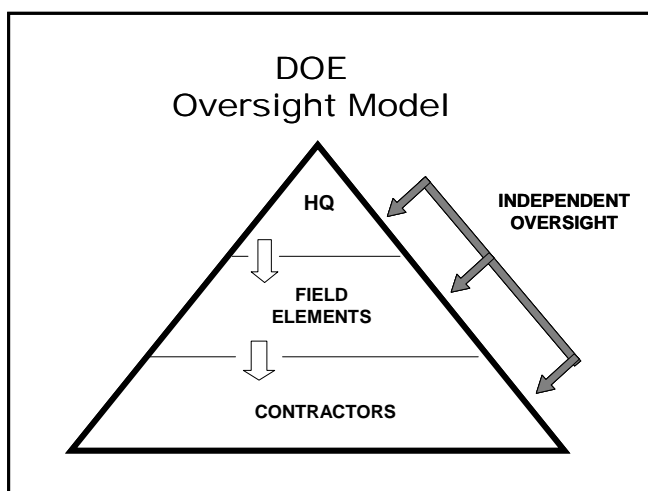
Management, Integrated Safeguards and Security Management, and Quality Assurance Programs.

## POLICY

It is DOE policy to protect the public, workers, environment, and national security assets and to perform its operations effectively. To meet this goal, all DOE organizations must implement an assurance system that ensures compliance with applicable requirements, pursues excellence through continuous improvement, provides for timely identification and correction of deficient conditions, and verifies the effectiveness of completed corrective actions. Additionally, DOE oversight programs must determine whether programs, management systems, and assurance systems comply with requirements and are effectively implemented.

It is DOE policy to implement assurance systems and oversight programs that include four essential elements:

- a comprehensive and rigorous assurance system implemented at all sites;
- DOE field element line management oversight processes, such as inspections, reviews, surveillances, surveys, operational awareness, and walkthroughs, that evaluate programs and management systems and the validity of the site assurance system;
- DOE Headquarters line management oversight processes that are focused primarily on the DOE field elements. To the extent necessary, DOE Headquarters line management also looks at contractor activities to evaluate the implementation and effectiveness of field element line management oversight; and
- independent oversight processes that are performed by DOE organizations that do not have line management responsibility for the management of the activity and thus provide an independent perspective for senior management on the effectiveness of programs and activities at all organizational levels (Headquarters, field, and contractor).



The four elements are designed to work as a comprehensive system to provide assurance that DOE activities are safe and secure. Oversight of high consequence activities, such as high hazard nuclear operations, requires additional rigor, such as instituting Central Technical Authorities for core nuclear safety functions. The assurance system puts responsibility and accountability at the appropriate organizational level (both Federal and contractor) to implement comprehensive and rigorous processes that ensure

adequate protection of the public, workers, environment, and national security assets and





